

DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 23:
RECORDS COMMON TO MOST OFFICES

7/20/99

This schedule provides for the disposal of certain records common to most offices. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and documents of transitory value. This schedule does not apply to any materials determined to be nonrecord or to materials such as calendars or work schedules claimed as personal. Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

Some item numbers in this schedule have been reserved to coordinate with GRS 23.

See ADM 23, item 10, for the disposition of those records described in this schedule that are created in electronic form. Retirement of non-current records to inactive storage is authorized.

1. Office Administrative Files. (GRS 23, item 1)

- a. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. Included copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Cut off at the end of the fiscal year. Destroy when 2 years old, or when no longer needed.

- b. Record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the organization.

Permanent. Cut off at the end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old. (N1-434-98-25)

2-4. Reserved.

5. Schedules of Daily Activities. (GRS 23, item 5)

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

- a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. (See .15).

Cut off at the end of the fiscal year. Destroy or delete when 2 years old.

- b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Cut off at the end of the fiscal year. Destroy or delete when no longer needed for convenience of reference.

5.1 Records of High-Level Officials. (N1-434-98-25)

Unique substantive records relating to the activities of high level officials (to include scientific and technical staff-Federal or contractor), e.g., Secretarial officers, heads of program offices, heads of offices, their deputies and assistants; the heads of staff offices, directors of offices, or equivalent; principal field officials; and staff assistants to all these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions; also includes equivalent contractor officials. Examples of these records include, but are not limited to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity.

Permanent. Cut off at the end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old.

6. Suspense Files. (GRS 23, item 6)

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

- a. A note or other reminder to take action.

Destroy after action is taken.

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. Withdraw documents when reply is received.

- (1) If suspense copy is an extra copy, destroy immediately.

- (2) If suspense copy is the file copy, incorporate it into the official files.

7. Transitory Files. (GRS 23, item 7)

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days.

- a. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

Cut off at the end of the month. Destroy when 3 months old.

- b. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.

Cut off at the end of the month. Destroy when 3 months old.

- c. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

Cut off at the end of the month. Destroy when 3 months old.

8. Tracking and Control Records. (GRS 23, item 8)

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction.

Cut off at the end of the fiscal year. Destroy or delete when 2 years old, or 2 years after date of last entry, whichever is applicable.

9. Finding Aids (or Indexes). (GRS 23, item 9)

Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Destroy or delete with the related records.

10. Electronic Mail and Word Processing System Copies. (N1-434-98-25)

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.